

State of Indiana

Workforce Investment Act of 1998

Planning Guidance

July 1, 1999 through June 30, 2004

State of Indiana

Workforce Investment Act of 1998

One-Stop System Design

Basic Principles

One-Stop System Design Basic Principles

**Not a comprehensive listing of WIA requirements.
Please refer to the WIA legislation for complete information.**

Each One-Stop partner is required to enter into a Memorandum of Understanding (MOU) with the local WIB, in agreement with the Chief Elected Official. The MOU will outline:

- The services to be provided through the One-Stop system;
- How the costs of the services and the operating costs of the system will be funded;
- The methods of referral of individuals between the One-Stop partners;
- The duration of the MOU; and
- The procedures for amending the MOU.

The State anticipates that all local MOUs will not be the same. For example, an umbrella MOU may be developed that addresses the issues relating to the local One-Stop delivery system for the local board and all partners. Also, the umbrella MOU may contain attachments for those who need individualized, in-depth agreements due to the exchange of finances. Another option for the MOU may be that the local board decides to enter into separate MOUs with each partner.

Whatever the approach, federal legislative and State policy requirements apply. Also, each State agency needs to determine their parameters for the exchange of resources. Lastly, the individual signing the MOU need not be the same individual who is the One-Stop partner.

Each local area is required to have at least one physical "full service" center at which customers may access services of each of the One-Stop partners. This comprehensive center can be augmented by additional "full service" centers and through a network of One-Stop partners that can consist of physical sites or electronic access points. Regardless of the design that a local area chooses, it must be based on a "no wrong door" approach. Services provided through the One-Stop system (defined as providing core services and access to intensive and training services for adults and dislocated workers and all youth services) will be provided to customers regardless of their county of residence.

The One-Stop operator will be selected consistent with the enclosed policy parameters. The One-Stop operator responsibilities are included as a separate attachment.

WIA requires all One-Stop partners to make their services accessible through the One-Stop system. Criteria for determining "access" will be established at the local level in consideration of both the resources of the local area and the needs of the individual. Level of access may be affected by geography, number of staff in the region, and available resources, and therefore may even vary from one One-Stop center to another within the same region. It is important that the unique needs of the individual be considered as well. An informational brochure about adult

education may not provide sufficient access for someone who is illiterate; a computer linkage may not provide sufficient access to vocational rehabilitation for someone who is blind. Local areas should consider multiple ways to provide access to each service or program.

Adult and Dislocated Worker Programs

Title I of WIA creates separate funding streams for adults and dislocated workers. For both types of clients, there are three levels of services: core services; intensive services; and training. Through a "work-first" approach to service delivery, WIA promotes work by assuring that the most job-ready individuals use up-front services such as job placement before accessing more intensive services or skills training.

Core Services are:

- Determination of eligibility for services;
- Outreach, intake (which may include worker profiling), and orientation to the One-Stop system;
- Initial assessment;
- Job search and placement assistance, and career counseling;
- Provision of labor market information;
- Provision of information on:
 - eligible training providers;
 - local performance outcomes;
 - one-stop activities;
 - filing claims for Unemployment Insurance;
 - supportive services;
- Assistance in establishing eligibility for Welfare-to-Work and financial aid assistance; and
- Follow-up service.

Core services are available to all individuals. Previously, only Wagner-Peyser funds could be used to provide labor market information and labor exchange services for any employer or job seeker without regard to specific program eligibility. WIA expands the concept of universal access to all core services provided through the One-Stop system. The combination of Wagner-Peyser funds and funds from WIA may result in an expansion of accessibility to core services. Any core services provided through non-Wagner-Peyser funding will supplement Wagner-Peyser funded services and not supplant any Wagner-Peyser funded services provided by Wagner-Peyser staff.

Core services will be provided by the One-Stop partners. Indiana will not permit local WIBs and their staff to directly provide core services, unless (for PY 1999 only) the staff are part of a coalition of partners that act as a one-stop operator.

Intensive Services are:

- Comprehensive and specialized assessments of skills levels (i.e., diagnostic testing);
- Development of an individual employment plan;
- Group counseling;
- Individual counseling and career planning;
- Case management; and
- Short-term prevocational services.

Intensive services may be provided to adults and dislocated workers who are unemployed and are unable to obtain employment through core services, if the One-Stop operator determines that the individual is in need of more intensive services in order to obtain employment. Adults and dislocated workers who are employed, but who are determined by the One-Stop operator to be in need of intensive services in order to obtain or retain employment that allows for self-sufficiency are also eligible to receive intensive services.

Intensive services may be provided by One-Stop operators or through contracts with service providers, including contracts with public, private for-profit and private nonprofit service providers, approved by the local board. Indiana will not permit local WIBs and their staff to directly provide intensive services unless (for PY 1999 only) the staff are part of a coalition of partners that act as a one-stop operator. At this time, with substantial Temporary Assistance For Need Families (TANF), Welfare-to-Work, and Food stamp employment and training funding, it is determined that funds are not limited. Therefore, local WIBs may determine locally whether or not to prioritize welfare recipients and other low-income individuals for intensive services. In the event the WIB determines that training funds are limited on a region-wide basis, the priority for intensive services shall be any of the following:

- Former or current TANF recipients who are working but who need GED or occupational skill training to increase their wages;
- Food stamp recipients who are working and who need GED or occupational skill training to increase their wages;
- Low income individuals not eligible for TANF or Food stamps and who need GED or occupational skill training; and
- The working poor who need GED or occupational skill training to increase their wages.

Training Services are:

- Occupational skills training, including training for nontraditional employment;
- On-the-job training;
- Programs that combine work place training with related instruction, which may include cooperative education programs;
- Private sector training programs;
- Skill upgrading and retraining;
- Entrepreneurial training;
- Job readiness training;

- Adult education and literacy activities in combination with other training services; and
- Customized training conducted with the commitment to employ the individuals upon successful completion of the training.

Individuals who have met the eligibility requirements for intensive services and are unable to obtain or retain employment through intensive services may receive training services consistent with a service plan developed in intensive services. At this time, with substantial TANF, Welfare-to-Work, and Food Stamp employment and training funding, it is determined that funds are not limited. Therefore, local WIBs may determine locally whether or not to prioritize welfare recipients and other low-income individuals for training services. In the event the WIB determines that training funds are limited on a region-wide basis, the priority for training services shall be any of the following:

- Former or current TANF recipients who are working but who need GED or occupational skill training to increase their wages;
- Food stamp recipients who are working and who need GED or occupational skill training to increase their wages;
- Low income individuals not eligible for TANF or Food stamps and who need GED or occupational skill training; and
- The working poor who need GED or occupational skill training to increase their wages.

The underlying principle of the provision of training services under WIA is customer choice. Through local WIBs, the State will compile a list of eligible training providers that meet levels of performance as set by the Governor and the WIBs. Individuals may choose any provider from the list of approved providers, whether or not the provider is located in the local area where the individual resides.

Training will be geared toward the economic development needs of the region. Training funded by any partner except vocational rehabilitation will be prioritized for occupations in demand in the labor market, or in a labor market to which the trainee is willing to move and has a plan for moving. An occupation in demand includes a job for which there is ordinarily limited demand, but the individual has a bona fide job offer contingent upon completion of training.

Training funded by any partner will build on existing skills first. That is, if an individual may be trained for a good job more quickly and economically by building on existing skills, that will take precedence over training the individual for an entirely new occupation. Publicly funded training is not an entitlement. Customer choice applies to how and where training is provided. Although the customer's interest will be taken into consideration in developing existing skills, the demand of the labor market and limited training dollars take precedence.

"Unable to benefit from" core or intensive services needs to be determined based on two factors: the individual *and* the workforce needs of the regional economy.

Scenario One: a welfare recipient with no occupational skills.

- TANF and Food Stamp employment and training funds could be used at the community level to provide the social service supports and initial development to assist the individual to obtain and retain entry-level employment.
- After the individual and his/her family have become stabilized (e.g., six months) at the entry employment level, WIA Title I training funds could be used to provide occupational training that will help that individual *retain employment in a demand occupation in the regional economy that will ensure future self sufficiency*. That is, the regional economy's need for specific occupational skills still has not been met; the individual is still "at risk" of not retaining employment because he/she does not have skills in demand; the individual is at risk of not retaining self sufficiency because the entry-level job does not permit asset building and advancement potential that will protect the family in the event of an economic downturn.

Thus, although the individual is employed and currently self-sufficient, he/she meets the test for expenditure of intensive services or training dollars under the tiered service delivery system.

Scenario Two: A dislocated worker with skills, laid-off from a high wage job because the job is no longer needed in the economy.

- The individual may initially benefit from core services. Under the "work first philosophy," the person should be placed immediately in a job, even if the wage does not approximate previous income.
- Although employed, the person may not yet be "self sufficient" from an individual standpoint because he/she may not be able to maintain his/her current home and transportation due to the wage reduction. The one-stop operator will need to make such a determination in considering self sufficiency.
- Although employed, the regional economy may not be benefiting from the individual's existing skills.
- While employed at this initial placement obtained through core services, the individual would be eligible for intensive services, such as in-depth assessment and counseling to identify transferable skills that would enable the person to obtain more suitable employment (note: as one-stop centers begin to serve more employed persons who are eligible for intensive services or training, hours of operation may need to be reconsidered to accommodate customers who work full time. Additionally, education and training institutions may need to extend the accessibility and availability of training for skills in demand in the regional economy to accommodate the growing need for training among the full time worker population).
- If assessment and counseling do not result in the individual being placed in a job that meets the double test of preservation of current self-sufficiency and benefit to

the skill demands of the regional economy, the person would be eligible for training. In accordance with state policy parameters, training is not an entitlement and the individual should be pursuing employment in a high demand job that contributes to the development of the regional economy to be eligible for training. Additionally, the policy parameters require that the individual's existing transferable skills be identified and built upon to conserve training funds.

- Individuals who do not want to utilize their transferable skills or who are not interested in employment in occupations needed by the regional economy may still be assisted through the one-stop center. Such individuals may be provided information about labor markets, wages, schools, training providers, loans, and financial aid and given assistance in making application for services they purchase or fund on their own.

Youth Programs

WIA provides a variety of activities that will prepare youth for academic and employment success. To the extent practical and feasible, outcomes for youth should be "competency" based. Such a "competency" requirement can be met in different ways. Examples include but are not limited to the WIB approving a formal competency system, youth developing and maintaining portfolios, and youth being awarded certificates of achievement.

Youth services will be delivered by entities that are competitively awarded a grant or contract by the local WIB to provide such services. Such entities may or may not be the same as those serving as One-Stop partners or as the One-Stop operator(s) in the local area.

Local boards and youth councils are encouraged to coordinate youth activities (including adult mentoring programs and leadership development opportunities) with other community funded programs which meet the needs of youth, i.e., school-to-work groups, alternative education programs, 21st Century Scholars, etc.) Each local area can determine the extent to which they want to integrate youth services with adult and dislocated worker services. It is envisioned that localities would make connections to the adult system through relationships with the private sector and higher education institutions, and through their streamlined administrative structure.

State of Indiana
Workforce Investment Act of 1998
Designation of Regions
Map

State of Indiana
Workforce Investment Act of 1998
Planning Regions
Map

State of Indiana
Workforce Investment Act of 1998
Policy Parameters

One-Stop System Policy Parameters

December 23, 1998

1. One-Stop System

Indiana's goal is to create a system of workforce investment that integrates all public workforce development resources into an easily accessible system to benefit Hoosier families and regional economies. The workforce investment system will be built on demand-side strategies. Although the test of program success will be on employment, skills gains, and earnings of individuals, the primary test of system success will be the impact on identified skill gaps in the labor market and productivity of Indiana businesses. This will be accomplished through:

- easily accessible services that emphasize lifelong learning, personal responsibility, transferable skills, and training for occupations in demand.
- establishment of common planning regions based on labor markets.
- development of outcome measures that reflect the full impact of workforce investments in the region.
- establishment of workforce investment boards that, in partnership with local elected officials, have broad planning, goal setting, policy and oversight authorities across funding streams and are held accountable for outcomes.

2. Independent Workforce Investment Board

For the first year: The test of independence may be met by:

- a) A complete separation of staff to the board from any staff that deliver or manage services. If this option is selected, the WIB may
 - designate or certify a one-stop operator(s) through a competitive process, or
 - certify an existing entity carrying out activities through the one-stop system as a one-stop operator with the concurrence of the Chief Elected Official and the state administration. or
 - designate a coalition of three or more partners; OR
- b) The staff or entity that performs staff services for the board may also provide services if it is one of a coalition of three or more partners that performs the one-stop operator function. The coalition agreement must clearly the authorities of each partner.

By year two of implementation, the test of independence may only be met by complete separation of staff to the board from any staff that deliver or manage services. (That is, the staff may not be employed by the same employer).

3. Establishment of the Workforce Investment Board

The Chief Elected Official for a region may determine whether to:

- a) Establish a new board and Youth Council OR
- (b) A Chief Local Elected Official may temporarily designate an existing entity as a regional board under the following conditions:
 - (1) the local area overseen by the existing entity closely corresponds to the Workforce Investment Area and
 - (2) was in existence on December 31, 1997 and
 - (3) i. was established pursuant to section 102 of the Job Training Partnership Act or
 - ii. is substantially similar to the local board described in the Workforce Investment Act of 1998 ("substantially similar" is defined to mean it has a private sector majority and includes representatives of education and community-based organizations), and
 - (4) includes
 - i. representatives of business in the local area and
 - ii. (I) representatives of labor organizations (for a local area in which employees are represented by labor organizations), nominated by local labor federations, or
 - (II) for a local area in which no employees are represented by such organizations, other representatives of employees in the local area; and
 - (5) the Chief Local Elected Officials' request to the Governor to designate such an existing entity includes a transition plan for complying with the membership provisions of a local Workforce Investment Board as defined by Section 117 of the Workforce Investment Act of 1998 by July 1, 1999. At a minimum, all one-stop partner representatives must be appointed prior to March 1 to ensure they participate in finalizing the local plan, and all other members must be appointed by June 1 to allow the state sufficient time to certify the WIB prior to the July 1 implementation date; and
 - (6) a transition plan for creating independent regional board staff by July 1, 2000, if the board staff are not already independent of service delivery.

4. Regional Planning

Each WIB will plan for services, one-stop operator selection, and Title I outcomes for its area. In cases where two or more areas share a labor market, the state will require regional planning by the affected Workforce Investment Boards. The boards will engage in regional planning that results in the establishment of regional performance measures. The areas will be required to coordinate provision of one-stop services, including transportation and other supportive services, so that the services are accessible across the boundaries of the local areas. The individual area plans will be incorporated in a regional plan that also addresses regional needs and outcomes.

5. One-Stop Facilities

The current facilities that have been considered one-stop Workforce Development Centers up until June 30, 1998 may continue to be recognized as one-stops facilities after implementation of the Workforce Investment Act and receive temporary charters subject to meeting minimum criteria jointly agreed to by the Workforce Investment Boards and the state administration. This is intended to recognize physical facilities, not one-stop operators. Elected officials and boards may determine the location of any additional one-stop offices beyond the existing facilities to the extent resources are available. Through the local planning process and Memorandum of Understanding, the board may negotiate moving an existing one-stop facility. Any one-stop physical facility must include an Information Resource Area to receive a Workforce Development Center charter. Workforce Investment Boards will charter centers consistent with minimum criteria developed by the state. Boards may add additional chartering criteria.

6. Unified State Plan

The initial 5 year state plan will include the state plans required under the following resources: Workforce Investment Act Title I, Welfare to Work, PL-38, Workers at Risk, Wagner-Peyser, veterans programs, Unemployment Insurance, Carl Perkins post secondary and secondary vocational technical education funds, School to Work, Trade Adjustment Assistance Act, and Workforce Literacy. The plan is a "rolling" five year plan. Each year we will update performance outcomes and add additional state plan requirements of the various partner resources to the greatest extent practicable. The goal is to include as many of the one-stop partners as possible in a unified state plan for developing Indiana's human capital.

7. Memoranda of Understanding (MOU)

A board need only negotiate one MOU per partner but may negotiate one per funding stream, if appropriate. A partner is an entity that administers one or more of the required or voluntary resources. For example, DWD may have three offices in an area. Each office manager supervises several one-stop resources (Wagner-Peyser, Unemployment Insurance, veterans programs, and Trade Adjustment Assistance). The Board need only negotiate a single MOU with DWD.

The Workforce Investment Board will outline the needs of the local area, strategic direction, and desired performance for the region. Through the MOUs, the partners will address how they will contribute to desired outcomes and support of the one-stop strategy. Because of variations in resources and local needs, we do not anticipate that the MOUs or the system will be identical from area to area.

8. Identity

The chartered one-stop centers will have a neutral identifier that:

- does not incorporate the name or logo of any single partner.
- allows Hoosiers to easily identify access points to services regardless of where they go in the state.
- permits joint ownership of any current or future partner in the one-stop system.
- allows for statewide marketing of the system.
- permit customers to identify which offices have been chartered as one-stops by the Workforce Investment Boards based on both services available and performance.

Individual partner identifiers may continue to be used under conditions to be established by policy.

9. Training Priorities

Training will be geared toward the economic development needs of the region. Training funded by any partner except vocational rehabilitation will be prioritized for occupations in demand in the labor market, or in a labor market to which the trainee is willing to move and has a plan for moving. An occupation in demand includes a job for which there is ordinarily limited demand, but the individual has a bona fide job offer contingent upon completion of training.

Training funded by any partner will build on existing skills first. That is, if an individual may be trained for a good job more quickly and economically by building on existing skills, that will take precedence over training the individual for an entirely new occupation. Publicly funded training is not an entitlement. Customer choice applies to how and where training is provided. Although the customer's interests will be taken into consideration in developing existing skills, the demands of the labor market and limited training dollars take precedence.

10. Capacity Building

The state agencies will jointly invest in capacity building for the Workforce Investment system. The state will have an on-going relationship directly with the boards and elected officials, particularly during the first two years of implementation, to ensure a degree of quality control and consistency in board development. The Department of Labor anticipates strong coordination between the state and local Workforce Investment Boards. The state agencies will also take joint responsibility for assisting with capacity building of the staff of the one-stop system. This does not prohibit boards from determining and acting upon their own capacity building needs.

11. Resource Allocation

WIBs and CEOs will determine youth, adult, and dislocated worker resource allocation within the area as well as determine how to apportion funds among core, intensive, and training services. Allocation of other resources will be as determined through the MOUs. WIBs and CEOs are expected to distribute resources fairly across the area, taking into consideration the needs of both urban and rural counties. They are also to develop policies to re-allocate resources in the event of underexpenditures, major dislocations, or other unanticipated conditions or events.

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State of Indiana

Workforce Investment Act of 1998

Priorities

Indiana's Workforce Investment Priorities

- **Development of Regional Economies**

Progress will be measured by:

- Increase in average value added per wage dollar on county level productivity measures.
- Increase in employee wages.
- Reduction of unemployment in pockets of high unemployment

Challenges:

- Indiana ranks 36th in the nation in wage growth.
- Indiana ranks 43rd in value added per wage dollar.
- Since 1969, total personal income for Indiana, adjusted for inflation, has grown by 84%, but the nation has seen an advance of 124% during the same period. As a result, our share of total personal income has declined from nearly 2.5% in 1969 to just over 2% in 1997. Our decline in share of the nation's income has come primarily from earnings.

- **Development of the Incumbent Workforce**

Progress in each regional economy will be measured by:

- number/percent of incumbent workers who possess:
 - o a high school diploma or GED
 - o Certificate of Technical Achievement
 - o Associates Degree (especially in manufacturing technology)
 - o Bachelor's Degree
 - o Any other state or nationally recognized skill credential which is documented and portable.
- increase in personal investments in skill development and further education. Federal and state dollars may leverage such investment.
- increase in private sector investments in the incumbent workforce. Federal and state dollars may leverage such investment.

Challenges:

- Indiana ranks 45th nationally in the percent of adults with postsecondary education.
- More than 20% of Hoosier adults do not have a high school diploma or GED.

- **Development of the Future and Potential Workforce**

Progress will be measured by:

- Graduation rates based on 4 grades.
- Retention and recovery of dropouts through alternative education.
- Percent of students passing ISTEP.
- Percent of students earning Certificates of Technical Achievement or any other state, local, or nationally recognized certification.
- Increase in the percent of students who pursue postsecondary education.
- Increase in the percent of secondary students engaged in work-based and school-based school-to-work activities.

Challenges:

- 54% of the class of 2000 passed ISTEP.
- Of Indiana's high school graduates, 55.2% of 1997 graduates enrolled the following year in postsecondary education.
- Indiana's graduation rate (based on 4 grades) was 87.69% in school year 1996-97.
- In school year 1997-98, 1.2% of all completers of occupationally specific programs were awarded Certificates of Technical Achievement. The percent that achieved certification of any kind, however, was 64%.
- Indiana has a limited number of secondary students engaged in work-based learning activities. A survey of local partnerships revealed that 2% of students in reporting partnerships participated in job shadowing or mentoring activities compared to 7% nationally; 3% in paid or unpaid internships compared to 4% nationally; .2% in paid or unpaid apprenticeship activities compared to .5% nationally.
- Indiana has a limited number of students participating in school-based school-to-work activities. A survey revealed 18% used a work-related curriculum compared to 37% nationally; 18% used integrated vocational and academic curricula compared to 26% nationally; 4% used work-based learning connected to integrated curriculum compared to 10% nationally.

State of Indiana

Workforce Investment Act of 1998

One-Stop Operator

Responsibilities

One-Stop Operator Responsibilities

NOTE: one-stop operator may be one or more entities, but the singular term is used.

NOTE: Bold type indicates specific activities that are to be done by the operator. Normal type indicates things the operator "may" perform under the law.

Statutory:

- **Refer individuals to one-stop partners for appropriate services and activities [121(c)(2)(A)(iii)]**
- **Collect performance information from OJT and customized training providers as required by the Governor, determine whether providers meet the performance criteria, disseminate information identifying the providers that meet the criteria as eligible providers through the one-stop system. [122(h)(2)].**
- **Determines who among the unemployed is in need of intensive services in order to obtain employment [134(d)((3)(A)(i)(II)]**
- **Determines who among the employed is in need of intensive services in order to obtain or retain employment that allows for self-sufficiency [134(d)((3)(A)(ii)]**
- May directly provide core, intensive, and training services. [134(d)(3)(B)(i) specifically mentions that intensive services may be provided by the one-stop operator. Authority to provide training may be inferred, since postsecondary institutions are allowed to be one-stop operators. Authority to provide core is also inferred, since 134(d)(1)(A)(ii) requires that WIA funds "shall" be used to provide core services and there is no language that prohibits the operator from providing any of the services.]
- **Determines who is in need of training services following assessment and case management (partners may also make this decision. It is the operator OR one of the partners "as appropriate." [134(d)(4)(A)(ii)].**
- **Determines priority for training among those who are in need. [134(d)(4)(E)].**
- May provide customized screening and referral of individuals in training, and may provide customized employment-related services to employers on a fee for service basis. [134(e)(1)(A) and (B) indicates these activities may be done with WIA resources, and makes no prohibitions on such activities being done by the one-stop operator.]
- May provide supportive services [134(e)(2) indicates WIA funds may be used for supportive services, and contains no prohibitions on such services being provided by the operator.]

- May provide needs related payments to dislocated workers [134(e)(3) indicates WIA funds may be used for needs based payments, and contains no prohibitions on such services being provided by the operator.]
- May be the fiscal agent. [117((d)(3)(i)(II) indicates the CEO may designate an entity to serve as the local grant subrecipient for funds or as a local fiscal agent. There are no prohibitions given against this being the same entity as the one-stop operator].
- Responsible for outcomes. 121(d)(1) indicates that the WIB may terminate the one-stop operator "for cause," which is not elaborated.

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State of Indiana

Workforce Investment Act of 1998

Local Area & Regional Plan Instructions

**Instructions for Completing the Local Workforce Investment Plan
Workforce Investment Act (WIA)
Program Years July 1, 1999 through June 30, 2004**

Vision

Indiana's vision is to have the most qualified, high performance workers in the nation and the most user-friendly public-private system for customers (students, workers and employers) to access the resources they need for lifelong learning and training. The Workforce Investment Act (WIA) of 1998 will be implemented in Indiana beginning July 1, 1999 and be continuously refined over the next five years. The workforce investment system will be built on demand side strategies. Planning regions based on labor markets will be the basis for planning rather than Workforce Investment Areas. Outcome measures that reflect the full impact of workforce investments in the region will be developed. Local Workforce Investment Boards (WIBs), in partnership with local elected officials, will have broad planning, goal setting, policy, and oversight authority across funding streams, and accountability for performance responsibilities. Indiana's workforce investment system will have easily accessible services that emphasize lifelong learning, personal responsibility, transferable skills and training for occupations in demand.

Legislative Requirements - Submittal and Approval Processes

SUBMITTAL

Section 118(a) -- "Each local board shall develop and submit to the Governor a comprehensive 5-year local plan (referred to in this title as the "local plan"), in partnership with the appropriate chief elected official. The plan shall be consistent with the State plan."

APPROVAL

Section 118(d) -- "A local plan submitted to the Governor under this section shall be considered to be approved by the Governor at the end of the 90-day period beginning on the day the Governor receives the plan, unless the Governor makes a written determination during the 90-day period that -

(1) deficiencies in activities carried out under this submittal have been identified, through audits conducted under section 184 or otherwise, and the local area has not made acceptable progress in implementing corrective measures to address the deficiencies; or

(2) the plan does not comply with this title."

The Indiana Department of Workforce Development (DWD) has been designated as the state agency to oversee the local plan approval process. State-level One-Stop Partners will assist in the reviews of each local workforce investment plan. Local Workforce Investment Boards (WIBs)/Chief Elected Officials may be requested to provide clarification to specific sections of the local workforce investment plan. In those cases, conditional approval of the local workforce investment plan will be provided pending satisfactory receipt of the clarifications.

Time Frames

December 23, 1998 Local plan instructions issued.

January 29, 1999	Draft WIA allocations provided.
March 1, 1999	Local WIB publishes proposed local workforce investment plan for public comment.
April 1, 1999	Local WIB and Chief Elected Official submits local plan.
June 30, 1999	All local workforce investment plans of service approved.

Resources

The local workforce investment plan will describe strategic direction and coordination of services provided by the following: programs authorized under Subtitle B of Title I of the Workforce Investment Act (WIA); programs authorized under the Wagner-Peyser Act (29 USC 49 et seq) (WIA section 121(b)(1)(B)(ii); adult education and literacy activities authorized under Title II of WIA (WIA section 121(b)(1)(B)(iii)); Parts A and B of Title I of the Rehabilitation Act of 1973 (29 USC 720 et seq) (WIA section 121(b)(1)(B)(iv)); Section 403(a)(5) of the Social Security Act (42 USC 603(a)(5) et seq) (as added by section 5001 of the Balanced Budget Act of 1997) (WIA section 121(b)(1)(B)(v)); Title V of the Older Americans Act of 1965 (42 USC 3056 et seq) (WIA section 121(b)(1)(B)(vi)); post secondary vocational education activities authorized under the Carl D. Perkins Vocational and Applied Technology Education Act (20 USC 2301 et seq) (WIA section 121(b)(1)(B)(vii)); Chapter 2 of Title II of the Trade Act of 1974 (19 USC 2271 et seq) (WIA section 121(b)(1)(B)(viii)); Chapter 41 of Title 38, United States Code (WIA section (b)(1)(B)(ix)); employment and training activities carried out under the Community Services Block Grant Act (42 USC 9901 et seq) (WIA section 121(b)(1)(B)(x)); programs carried out by the Department of Housing and Urban Development (WIA section 121(b)(1)(B)(xi)); and programs authorized under State unemployment compensation laws (in accordance with applicable Federal law) (WIA section 121(b)(1)(B)(xii)) and any others at local discretion.

The local workforce investment plan will provide the WIBs strategy and not be a description of "processes" as currently in the local plans of service under the Job Training Partnership and Wagner-Peyser Acts. The Memorandums of Understanding (MOUs) signed between the local WIB and the One-Stop Partners will operationalize the service delivery.

One-Stop System Design Basic Principles

Please see the enclosed system design basic principles concerning the implementation of WIA in Indiana.

Local Workforce Investment Areas

Please see the enclosed State map designating local areas for purposes of implementing WIA.

Indiana Policy Parameters

Please see the enclosed system parameters concerning the implementation of WIA in Indiana.

Workforce Investment Priorities

Please see the enclosed policy on Indiana's workforce investment priorities.

Regional Planning

Indiana requires planning for workforce investment activities to be done for each labor market

region. Therefore, if the area does not represent a labor market region, regional planning will need to occur to ensure labor market areas are addressed. Please see the enclosed State map designating workforce investment planning regions.

The State recognizes that some planning will need to occur within each local workforce investment area to encompass the unique needs of the local area. Additionally, some planning will need to occur regionally to encompass the labor market region. As examples, the local plan section on "Outcomes" (Page A1), will need to be developed jointly as outcomes affect the entire labor market region. On the other hand, the local plan section on "Leadership" (Page B1), should be developed by each local WIB. Identification of the sections to be completed jointly follow:

Section A - WIA System Outcomes

Section C - Assessment of Planning Regions

Section D - Resources Available to the Planning Region

Section E - Current and Projected Employment Opportunities

Section F - Necessary Job Skills

Section G - Sharing of Employment Statistics

WIBs will conduct regional planning based on the following definition from Section 116(c)(5)(A): "A combination of local areas that are partly or completely in a single labor market area, economic development region, or other appropriate contiguous subarea of a State, that is designated by the State.. . "

The WIBs for the counties designated below will conduct regional planning:

The WIBs overseeing workforce development activities in the Counties of Lake, Porter, LaPorte, Newton, Jasper, Starke, and Pulaski are required to conduct regional planning and will submit a single local workforce development plan.

The WIBs overseeing workforce development activities in the Counties of Grant, Madison, Blackford, Delaware, Henry, Jay, and Randolph are required to conduct regional planning and will submit a single local workforce development plan.

The WIBs overseeing workforce development activities in the Counties of Marion, Boone, Hamilton, Hendricks, Morgan, Johnson, Shelby, and Hancock are required to conduct regional planning and will submit a single local workforce development plan.

The WIBs overseeing workforce development activities in the Counties of Vermillion, Parke, Putnam, Vigo, Clay, and Sullivan are required to conduct regional planning and will submit a single local workforce development plan.

The WIBs overseeing workforce development activities in the Counties of Owen, Monroe, Brown, Bartholomew, Greene, Lawrence, Jackson, and Jennings are required to conduct regional planning and will submit a single local workforce development plan.

The WIBs overseeing workforce development activities in the Counties of Knox, Daviess, Martin, Gibson, Pike, Dubois, Posey, Vanderburgh, Warrick, Spencer, and Perry are required to conduct regional planning and will submit a single local workforce development plan.

Indiana will negotiate area adult, dislocated worker, and youth performance indicators under Title 1 for each area as well as over-arching regional performance outcomes for workforce investment activities conducted in the counties designated above for regional planning.

To the extent feasible, employment statistics, information about employment opportunities and trends, and other types of information that would assist in improving the performance of all counties in the designated region on local performance measures will be shared between the local WIBs designated for regional planning.

Workforce investment activities authorized under this subtitle, including the provision of transportation and other supportive services, will be coordinated by the WIBs designated for regional planning, so that services provided through the activities may be provided across area lines within the designated region.

Labor Market Information

Labor market information based on the planning regions is enclosed.

Planning Grant

Planning grants in the amount of \$5,000 will be provided to each Chief Elected Official. These planning grant funds will be used to cover administrative costs incurred prior to the initial implementation of WIA in Indiana beginning July 1, 1999. Indiana anticipates such costs to include but not be limited to the costs associated with the local workforce investment plan; WIB appointments and staffing; Memorandum of Understanding negotiation sessions; general WIA planning meetings, etc. Instructions for accessing the planning grant are enclosed.

Workforce Investment Board Designation Policy

Enclosed is the policy concerning the WIB designation process. The policy will be revised to incorporate the certification process for the WIB, conflict of interest criteria, and appointment criteria for the Youth Council.

System Capacity Building

Currently, technical assistance is being provided to local elected officials to assist them on the components of the WIA legislation and their enhanced role. Additional technical assistance will be provided to WIBs and their staff. This training for the WIBs and staff will be provided during the period January 1999 through June 1999. Technical assistance may be provided jointly to WIBs that share a labor market. The contractor will develop a training curriculum for WIBs that includes:

- o the roles and responsibilities of the individual representatives of various sectors on the Board.
- o an overview of the programs and services which comprise the one-stop system.

- o the federal and state roles of the board and its community and system-wide responsibilities. The difference between a fund-management board and a board concerned with leadership, system accountability, and oversight will be clearly distinguished.
- o a template (to be filled in by local staff) covering the current status of the regional economy, the quality of the workforce, and the level of integration and accessibility of services in the region.
- o sensitivity to the community and how to identify and resolve community concerns about the functioning of the one-stop system or the Board itself.
 - Development of an orientation package that can be used for future WIB members.
 - Development of a chartering process for WIBs to use in chartering Workforce Development Centers.
 - Delivery of the training curriculum on-site during the period January, 1999 to June, 1999.
 - Delivery of at least one follow-up session on-site during the period July, 1999 to December, 1999.
 - Delivery of up to 3 additional days on-site technical assistance upon request of the WIBs during the period January, 1999 to December, 1999, with at least one day per region being available January, 1999 to June, 1999. The menu of technical assistance options may include:
 - o strategic planning
 - o regional planning between WIBs
 - o development of a vision and outcomes for an integrated workforce investment system
 - o system oversight, including identification of the data the WIB will need to maintain successful oversight.
 - o Applying Malcolm Baldrige principles to a workforce investment system.
 - o Chartering procedures for Workforce Development Centers
 - o negotiating successful Memoranda of Understanding
 - o other options with pre-approval of the Steering Committee.

One-stop operators and staff of the One-Stop system will also receive technical assistance. Their training will include an overview of the programs and services which comprise the One-Stop system, discussions on implementation issues, and how implementation of WIA differs from historical delivery practices. Delivery of the training will occur January 1999 through June 1999. Training for One-Stop operators and their staff that share a labor market will be delivered jointly. Additional training may be available upon request by the One-Stop operator.

The contractor will provide:

- Development of a training curriculum for one-stop operators and staff of the system that includes:
 - o an overview of the programs and services which comprise the one-stop system.

- o a discussion of the concept of one-stop and integration and how it differs from historical delivery practices
 - Delivery of the training curriculum on-site during the period January, 1999 to June, 1999.
 - Delivery of at least 2 additional days technical assistance on-site upon request of the one-stop operator. The technical assistance may include:
 - o business planning
 - o Malcolm Baldrige principles
 - o Information management in a one-stop environment
 - o other options with pre-approval of the Steering committee.

Plan Directions

A template for the local workforce investment plan is enclosed. Each page of the template contains a component of the local workforce investment plan. The local response is to be placed below the component. Please begin each component on a new page. Please note that the pages are numbered in the upper right hand corner. Also note that components contain a recommended maximum length per area and/or regional response so as not to make the local workforce investment plans overly cumbersome.

These instructions are also available on disc in WordPerfect 5.2 format by request.

An original and five (5) copies of the local workforce investment plan must be submitted by close of business Thursday, April 1, 1999 to Mr. Edward J. Durkee, Director, Job Training Programs; Department of Workforce Development; 10 N. Senate Avenue; Indianapolis, IN 46204.

Memorandum of Understanding (MOU)

Enclosed is a copy of the state level agreement adopted by the State Steering Committee. The mandatory components for the local MOUs are also enclosed.

Questions concerning the implementation of the Workforce Investment Act may be directed to Nina Babich, Executive Assistant to the Commissioner for Policy, at 317/232-7381.

Questions concerning the local workforce investment plan and completion of the MOU may be directed to Jennifer Biddle, Planning Analyst, at 317/232-7459.

State of Indiana

Workforce Investment Act of 1998

Local Area & Regional Plan Template

Region _____

Local Workforce Investment Plan

July 1, 1999 through June 30, 2004

Area _____

Chief Elected Official

Workforce Investment Board Chair

Typed Name

Typed Name

Signature

Signature

Area _____

Chief Elected Official

Workforce Investment Board Chair

Typed Name

Typed Name

Signature

Signature

WIA System Outcomes

Please identify the process by which the WIB(s) will establish baseline measures and regional goals over the next 6 months. Regional goals are those goals established by the WIB(s) to develop the regional economy and are not performance measures for any single funding source. Please review the document entitled, "Indiana's Workforce Investment Priorities."

To be completed jointly by all WIBs in a planning region.

(Recommended maximum 3 pages per region. Subsequent pages will be numbered A2, A3, etc.)

Leadership

Please describe how the WIB will engage employers and labor in the One-Stop system.

Please describe how the WIB will involve the community in discussions and ensure broad system input in establishing goals.

(Recommended maximum 2 pages per area. Subsequent pages will be numbered B2, B3, etc.)

Assessment of Planning Region

Please describe the workforce investment needs of businesses, jobseekers, and workers in the planning region and how these needs were determined.

To be completed jointly by all Boards in a planning region and individually for each area that is wholly or partially in the region.

(Recommended maximum 3 pages per area and/or region. Subsequent pages will be numbered C2, C3, etc.)

Resources Available to the Planning Region

Please identify the amount and the type of funding of each one-stop partner.

Identify the gaps where the amount of funding does not meet the workforce investment needs of businesses, jobseekers, and workers in the planning region.

Describe the actions to be taken by the Board to address the gaps.

Describe how the WIB will allocate funds equitably to the urban and rural areas of the area, and how it will re-allocate resources in the event of under-expenditures in some areas, major dislocations, or unanticipated conditions or events.

To be completed jointly by all Boards in a planning region and individually for each area that is wholly or partially in the region.

(Recommended maximum 4 pages per area and/or region. Subsequent pages will be numbered D2, D3, etc.)

Current and Projected Employment Opportunities

Please describe current employment opportunities in the planning region and indicate the data source(s) used for identifying the employment opportunities.

Please describe projected employment opportunities in the planning region and indicate the data source(s) used for projecting the employment opportunities. Please indicate the time frame of the projection.

To be completed jointly by all Boards in a planning region and individually for each area that is wholly or partially in the region.

(Recommended maximum 5 pages per area and/or region. Subsequent pages will be numbered E2, E3, etc.)

Necessary Job Skills

Please identify the job skills necessary to obtain the current and projected employment opportunities.

To be completed jointly by all Boards in a planning region and individually for each area that is wholly or partially in the region.

(Recommended maximum 3 pages per area and/or region. Subsequent pages will be numbered F2, F3, etc.)

Sharing of Employment Statistics

Please describe how the WIBs designated for regional planning will share, to the extent feasible, employment statistics, information about employment opportunities and trends, and other types of information that would assist in improving the performance of all counties in the designated region on local performance measures.

To be completed jointly by all WIBs in a planning region.

(Recommended maximum 2 pages per region. Subsequent pages will be numbered G2, G3, etc.)

Overview of One-Stop System

Please describe the one-stop delivery system to be established or designated in the area. Include the vision for "access" to services of the One-Stop partners.

(Recommended maximum 7 pages per area. Subsequent pages will be numbered H2, H3, etc.)

Continuous Improvement

Please describe how the WIB will ensure the continuous improvement of eligible providers of services through the system and ensure that such providers meet the employment needs of local employers and participants.

(Recommended maximum 3 pages per area. Subsequent pages will be numbered I2, I3, etc.)

Adult and Dislocated Worker Activities

Please describe and assess the type and availability of adult and dislocated worker employment and training activities in the area.

Please describe how the WIB will determine how to apportion funds among core, intensive, and training services.

(Recommended maximum 5 pages per area. Subsequent pages will be numbered J2, J3, etc.)

Coordination with Rapid Response

Please describe how the WIB will coordinate workforce investment activities carried out in the area with statewide rapid response activities, as appropriate.

(Recommended maximum 2 pages per area. Subsequent pages will be numbered K2, K3, etc.)

Youth Activities

Please describe and assess the type and availability of youth activities in the region, including how successful youth providers will be identified.

(Recommended maximum 5 pages per area. Subsequent pages will be numbered L2, L3, etc.)

Procurement

Please describe the competitive process to be used to award the grants and contracts in the area for activities carried out under local workforce investment systems. This is separate from the selection of the One-Stop operator. One-Stop operators are not necessarily required to provide any services under Title I of WIA.

(Recommended maximum 3 pages. Subsequent pages will be numbered M2, M3, etc.)

Fiscal Agent for each Area

Please provide the following information on the entity responsible for the disbursement of grants funds described in Section 117(d)(3)(B)(i)(III), as determined by the Chief Elected Official under section 117(d)(3)(B)(i).

Area_____

Name_____

Title_____

Organization_____

Address_____

Phone_____

Fax _____

E-Mail Address_____

Area_____

Name_____

Title_____

Organization_____

Address_____

Phone_____

Fax _____

E-Mail Address_____

Assurance is provided that if the Fiscal Agent is not a current grantee of DWD, the WIB has a copy of the most recent audit and indication of the status of the resolution and will provide copies to DWD upon request.

Page O1

Performance

Please provide the local levels of performance to be negotiated with the Governor and Chief Elected Official pursuant to section 136(c), to be used to measure the performance of each area and to be used by the local WIB for measuring the performance of the local fiscal agent (where appropriate), eligible providers, and the One-Stop delivery system, in the region.

ON HOLD UNTIL FURTHER NOTICE

Page P1

Opportunity for Public Comment

Please describe the process used by the WIB, consistent with Section 118(c), to provide an opportunity for public comment, including comment by representatives of business and comments by representatives of labor organizations, and input into the development of the local plan, prior to submission of the local workforce investment plan.

(Recommended maximum 2 pages per area. Subsequent pages will be numbered P2, P3, etc.)

Page Q1

Memorandum of Understanding (MOU)

Please attach a copy of each Memorandum Of Understanding signed between the WIB and each federally required One-Stop partner.

Page R1

Public Comment

Please submit any comments received by the local WIB from the public, including comments from representatives of business and labor organizations. that represent disagreement with the local workforce investment plan.

State of Indiana
Workforce Investment Act of 1998
Memorandum of Understanding
Steering Committee

**Memorandum of Understanding
Between the
Indiana WIA Steering Committee Members**

Effective Date: July 1, 1999 through June 30, 2000

The members of the Steering Committee for the implementation of the Workforce Investment Act of 1998 in Indiana are entering into a formal agreement in order to promote coordination and cooperation at both the state and local levels. The purpose of this state-level agreement is to foster data sharing and coordination and accessibility of services, and commitment to achieving regional outcomes between and among the federal and state agencies representing the One-Stop Partners in Indiana.

To encourage data sharing and coordination at both the state and local levels, the members of the Steering Committee will promote the following activities:

- developing and refining the workforce investment system;
- cross-training state and local staff on workforce investment activities;
- coordinating resources;
- evaluating performance;
- exploring the potential for common intake and single intake for all workforce investment programs; and
- providing customer service assistance.

The Steering Committee encourages the use of the Department of Workforce Development's CS 3 computer system to register all clients accessing the one-stop system and employer job openings, to the extent possible and keeping in mind the needs of the client. Clients should have maximum access to employment opportunities but should not have to travel unnecessarily. All partners should have equal access to job openings. However, the State recognizes that some clients may have special needs.

Section 121(c) of WIA requires each local WIB, in agreement with the Chief Elected Official, to enter into a Memorandum of Understanding (MOU) with each One-Stop partner. The MOUs describe how services will be provided in the local area through the one-stop delivery system, including how the costs of the services and the operating costs of the system will be funded. Methods of referral for clients for appropriate services and activities will be also be described. The duration of the state-level MOU will be from July 1, 1999 through June 30, 2000. The individual Steering Committee members will provide any assistance necessary to ensure that local negotiation sessions result in signed MOUs in a timely manner. The Steering Committee acknowledges that the local area's MOUs are to be submitted to the State with each local plan on April 1, 1999.

State of Indiana
Workforce Investment Act of 1998
Memorandum of Understanding
Format

Memorandum of Understanding

Format

Identifiers

Identify the entity who will be entering into the MOU with the WIB. Indicate the funding sources covered by this MOU.

Provision of services

Identify the services to be provided through the One-Stop delivery system by the partner.

Operating costs for the local one-stop system

Identify how the costs of the services listed above and the operating costs of the One-Stop system will be funded. Direct and indirect costs will be charged in accordance with the cost principles appropriate to the funding source.

Referral of clients

Describe how individuals will be referred for appropriate services and activities between the One-Stop operator and the One-Stop partner.

Duration

Please indicate the duration of the MOU.

Procedures for amending

MOUs may be amended to add or delete partners based on performance outcomes, and/or changes in client needs. Please describe the procedures for amending the MOU.

Goals

Please describe what the Board will do to assist the One-Stop partner to be successful.

Please review Section A1 of the regional plan.

Please describe what the One-Stop partner will do to assist the Board to be successful.

Please review Section A1 of the regional plan.

Please indicate the resource specific performance expectations and how the partner will keep the WIB apprised of progress in meeting these measures and standards.

Signatures

Please include the signatures, typed names, and titles of the individuals who have signature authority for the partner.

State of Indiana

Workforce Investment Act of 1998

Workforce Investment Board

Appointment Criteria

State of Indiana
Workforce Investment Act of 1998
Planning Grant
Instructions for Accessing

Instructions For Accessing

Planning Grant

The Department of Workforce Development will be providing up to \$5,000 to each Chief Elected Official (CEO) of the Workforce Investment Area to cover administrative costs incurred prior to the initial implementation of the Workforce Investment Act (WIA). This letter authorizes the CEO to incur costs, up to five thousand dollars (\$5,000.00), for planning activities from a period of time from January 1, 1999 through June 30, 1999.

Planning funds may be used for costs to include but not be limited to the costs associated with developing the local workforce investment plan and Memorandum of Understanding, Workforce Investment Board (WIB) appointments and staffing; and general WIA planning meetings, etc.

Funds will be advanced to you upon receipt of a signed claim voucher and signed Request for Taxpayer Identification Number and Certification (W-9). Please submit the forms to:

Craig Thompson, Deputy Controller
Indiana Department of Workforce Development
Indiana Government Center South
10 North Senate Ave.
Indianapolis, IN 46204

A detailed description of specific activities, including costs associated with those activities, should be submitted upon completion of WIA planning. Questions regarding reimbursement of costs should be directed to Craig Thompson at 317/232-1787.